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APPLICATION NUMBER

FILING/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

10/015,798

SOUTHAMPTON, PA 18966-4545

JOHN R. EWBANK

1150 WOODS ROAD

26788

11/02/2001

William E. McLaughlin

01 - 4

CONFIRMATION NO. 1300

FORMALITIES LETTER

OC000000007314643°

Date Mailed: 01/16/2002

NOTICE TO FILE CORRECTED APPLICATION PAPERS

Filing Date Granted

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

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A substitute specification in compliance with 37 CFR 1.52 because:

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■ The specification cannot be scanned or properly stored. Page(s)

TECHNOLOGY CENTER R3700

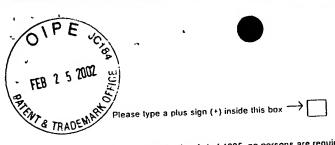
- o Papers must be legibly written either by a typewriter or mechanical printer in permanent ink or its equivalent in portrait orientation on flexible, strong, smooth, non-shiny, durable, and white paper. Application papers must be presented in a form having sufficient clarity and contrast between the paper and the writing thereon to permit the direct reproduction of readily legible copies in any number by use of photographic, electrostatic, photo-offset, and microfilming processes and electronic reproduction by use of digital imaging and optical character recognition. Pages page 1 6 are not in compliance with 37 CFR 1.52(a). The drawings filed are unacceptable because:

 Replacement page(s), together with a statement that the replacement page(s) contain no new matter, are required.
- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1));

A copy of this notice <u>MUST</u> be returned with the reply.

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Initial Patent Examination Division (703) 308-1202
PART 2 - COPY TO BE RETURNED WITH RESPONSE





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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Application Number Filing Date First Named Inventor Group Art Unit Examiner Name Attorney Docket Number Total Number of Pages in This Submission (check all that apply) **ENCLOSURES** After Allowance Communication Assignment Papers to Group (for an Application) Fee Transmittal Form Appeal Communication to Board of Appeals and Interferences Drawing(s) Fee Attached Appeal Communication to Group Licensing-related Papers (Appeal Notice, Brief, Reply Brief) Amendment / Reply Proprietary Information Petition After Final Petition to Convert to a Status Letter **Provisional Application** Affidavits/declaration(s) Power of Attorney, Revocation Change of Correspondence Address Other Enclosure(s) (please identify below): Extension of Time Request Terminal Disclaimer **Express Abandonment Request** Request for Refund Information Disclosure Statement CD, Number of CD(s) Certified Copy of Priority Remarks Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT TECHNOLOGY CENTER R3700 Firm Individual name Signature Date CERTIFICATE OF MAILING I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents. Washington, DC 20231 on this date: Typed or printed name Date

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In the United States patent and Trademark Office **COPY OF PAPERS ORIGINALLY FILED**

William E. McLlaughlin 19/915,798 filed 011/01/01

Preliminary Examination Group

Southampton, PA 18966-4545

February 3, 2002

Commissioner of Patents, Washington, DC 20231

Box INITIAL EXAMINATION DIVISION

Sir:

In response to the communication of Jan. 16, 2002 indicating that the Anthrax Sterilization procedure had damaged the application, a true copy of the application is submitted herewith, together with a copy of the request for such replacement.

Respectfully submitted,

John R. Ewback
John R. Ewbank Reg 14, 853

Voice 215-357-3977

Fax 216-322-2673

e-mail: hmrl@libertynet.org

Website: www.dffcs.org

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In the United States Patent and Trademark Office Southampton, PA 18966-4545

November 2, 2001 [note that filing was attempted on August 9, 2001 by FAXing to 703-746-4256]

McLAUGHLiN APPLICATION FOR APPARATUS CLAIMS

Assistant Commissioner of Patents,

Box Patent Applications-

Washington, DC 20231

Sir:

WHY THIS APPLICATION MERITS EXPEDITED PROSECUTION AS IF IT WERE UNAMBIGUOUSLY ENTITLED FROM THE FIRST TO BE CALLED A DIVISIONAL APPLICATION

This application has a specification identical to that of a pending application now in the Publications group because of a Notice of Allowability issued September 7, 2001. Such allowed pending application has method claims and is a CPA application filed July 6, 2001 derived fron parent application 09/235,6198, filed 01/21/99. Dr. Sean Smith was the Examiner throughout the prosecution. He is in Group 3729, headed by Lee Young. The applicant and inventorship herein are identical to such parent and CPA cases. The claims which are effectively sought herein are identical to the apparatus claims which previously were sought in the CPA application. When the parent case was filed, it included both method claims and apparatus claims. Such original apparatus claims are resubmitted [to maximize similarity to parent case as filed] but are cancelled by a Preliminary Amendment substituting the apparatus claims that were in the CPA case when capitulating to the Examiner's erroneous requirement for cancellation of the apparatus claims.

Counsel cannot quote a class and subclass for the presently sought claims because Examiner Smith never make a conventional restriction requirement.

When the case was filed on Jan. 21, 1999, there were both method and apparatus claims. In each of four amendments, applicant argued for the allowability of both method and apparatus claims, never making any election between them. The Examiner did not then raise any issue about restriction Then in the Final Rejection, Examiner Smith quite erroneously asserted that method claims had

McLAUGHLiN Divisional Apparatus Application of 11/02/01 benefiting from 01/21/99

been elected, and required the cancellation of the apparatus claims in order to expedite a Notice of Allowability of the method claims. The restriction requirement was a baffling surprise feature in a Final Rejection. Legal authorities were cited in attacking the restriction requirement, but Examiner Smith repeated it in the response to the After Final amendment. It seemed wiser strategy to pay an extra filing and issue fee than to use appellate procedures involving delays, lawyer's time, etc. to try to overcome the hurdles arising from this baffling surprise. The client desired early issuance of a patent.

Because the present application benefits from the 01/21/99 filing date, it is tentatively designated as a CONTINUATION APPLICATION, even though it will probably be treated essentially as a DIVISIONAL APPLICATION after the issuance of the filing receipt with its class-sub-class Group designations. This case should be processed with great speed.

The documents for the application containing the apparatus claims were predominantly prepared in response to a telephone conversation with Examiner Sean Smith on Wednesday Aug. 9, 2001. The Examiner seemed adamant that if both method and apparatus claims were desired, it would be necessary to file a separate case for the apparatus claims, which he indicated could be done following the CPA procedure of FAXing the application to his new private FAS number 703-746-4256. Accordingly, Counsel filed what was intended to be this application by FAX on Aug. 9, 2001. Counsel did not send a form requesting a FAX reply because of Counsel's unawareness of the availability of the FAX-reply form. It was subsequent to Aug. 9, while browsing through the availability of Forms on line that Counsel discovered that there is a reply form for COA applications filed by FAX. Counsel is 85 years old, and has had as many as 9 patent applications pending, but is quasi-retired, and accordingly relies more upon guidance from the Examiner than some patent attorneys having a more active prosecution practice.

Counsel did phone Examiner Smith a few days after the FAXing and had oral confirmation that the FAX had been received and that the case was on file. Said FAX transmittal included the documents for paying the fee from the Deposit Account. When the filing fee was not routinely deducted from the Deposit Account, Counsel made a series of Status Inquiries, including leaving messages on the VoiceMail of Examiner Smith several times, inquiries at the Initial Examination

McLaughlin Apparatus Application of 11/2/01 benefiting from 01/21/99

section, and the like, every few weeks. Counsel's persistent inquiries to the Patent Office brought on Thursday, September 25 the surprising news that currently the Patent Office does not accept the filing of a Divisional Application by FAX. Such surprising news prompted counsel to communicate with the office of his Arlington, VA associate, Eric Scherlin. A week later, on Thursday, November 1, said office phoned to explain that efforts to obtain access to the CPA of 09/235,618 had been unsuccessful, so that the apparatus application could not easily contain documentary evidence concerning the filing by FAX on Aug. 9, 2001. Preparations for filing this application started immediately, but could not be completed until Friday, November 2, 2001.

Although the two patents will expire simultaneously under the 20 year term statute, counsel tried valiantly to seek simultaneous issue of the two patents. Prior to the 20 year term statues, many courts were quite confused about "double patenting" as clarified in Stringham's book on Double Patenting. From 1937 onward, counsel particularly stressed the books about patent law by Stringham, However, today Stringham is almost unknown to many patent professionals. Stringham had respect for many court decisions concerning some aspects of intellectual property law, but contempt for the amazing confusion about double-patenting. Some of those asinine decisions have never been explicitly overruled. Some of the double patenting decisions contain language connoting that the Patent Office cannot be accused of error and that only counsel for applicant can be blamed if any mistakes were made. The Stringham book on double patenting encouraged efforts to seek both simultaneous expiration and simultaneous issue to avoid raising double patenting issues. Modern decisions probably acknowledge that mere simultaneous expiration avoids all double patenting problems. The prosecution record establishes the intent to avoid any double patenting problem, including the effectiveness of counsel's commitment to perennial common ownership of the differently numbered patents. The record also clarifies that counsel became a part-owner of such patent property during the prosecution, and is a shareholder in the common assignee, a corporation having essentially no assets except such patent property.

Substantially all patentability issues have been decided because the method claims, throughout the prosecution, had apparatus limitations, and the apparatus claims feature method limitations. Now that Examiner Smith has made it necessary to deal with two patent applications

McLaughlin Apparatus Application of 11/02/01 benefiting from 01/21/99

claims, but also recognize why there appears to be an appropriate basis for a First Action Notice of Allowability for the apparatus claims. The Examiner handling this case, after making a supplemental search, can essentially use Dr. Smith's statement as the reason for allowability. Counsel seeks a prompt and favorable action.

A signature page is at the end of this submission.

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ا ا ه		referred arrangement set forth below) Descriptive title of the Invention		(if applicable, all necessary)	
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5		Statement Regarding Fed sponsored R & D		b. Paper Copy (identical to computer copy)	
4		Reference to Microfiche Appendix Background of the Invention		c. Statement verifying identity of above copies	
ORIGINALLY FILED		Brief Summary of the Invention		ACCOMPANYING APPLICATION PARTS	
ъ	- B	Brief Description of the Drawings (If filed)		ACCOMPANYING APPLICATION PARTS	
1		Detailed Description		8. Assignment Papers (cover sheet & document(s))	
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		DELETION OF INVENTOR(S)	line	Small Entity Statement filed in prior application. Statement(s) Status still proper and desired	
		Signed statement attached dele inventor(s) named in the prior app	· .	Statement(s) Status still proper and desired Certified Copy of Priority Document(s)	
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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision

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Co	mplete if Known
Application Number	
Filing Date	Nov 2, 200
First Named Inventor	McLaughen
Examiner Name	0
Group Art Unit	
Attorney Docket No.	01-4

METHOD OF PAYMENT	FEE CALCULATION (continued)		
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SUBMITTED BY			Complete (if applicable)	
Name (Prim/Type)		Registration No 14853	Telephone	215-357-3977
Signature	John R Ewbank	The state of the s	Date	NOV3,2001

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STATEMENT CLAIMING SMALL ENTITY STATUS TRADE 37 CFR 1.9(1) & 1.27(b))-INDEPENDENT INVENTOR

Docket Number (Optional) 99-1

Title Infra=red laser device and method for scarching for lost firm As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR for purposes of paying reduced fees to the Patent and Trademark Office described in: The specification filed herewith with title as listed above. COPY OF PAPERS ORIGINALLY FILED the application identified above. Thave not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to grant, convey, or license, any rights in the invention to any person who would not qualify as an independent in under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am unobligation under contract or law to assign, grant, convey, or license any rights in the invention is installed. No such person, concern, or organization exists. The concern of organization is listed below. APR - TECHNOLOG Separate statements are required from each named person, concern, or organization having rights to the invention is the first status as small entities. (37 CFR 1.27)	
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the specification filed herewith with title as listed above. COPY OF PAPERS ORIGINALLY FILED the application identified above. the patent identified above. Thave not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to grant, convey, or license, any rights in the invention to any person who would not qualify as an independent in under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am unobligation under contract or law to assign, grant, convey, or license any rights in the invention interesting. No such person, concern, or organization exists. The person concern, or organization is listed below. APR - TECHNOLOG Separate statements are required from each named person, concern, or organization having rights to the invention that it is status as small entities. (37 CFR 1.27)	_
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Signature of inventor Signature of inventor Signature of inventor	
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In the United States Patent and Trademark Office

William L. McLaughlin

Quasi-Division of pending CPA filed July 5, 2001 continuing 09/235.618 of 01/21/99

Parent Application was in Group 3729
S. Smith Examiner; Superv.Ex. Lee Young
Allowed Sept. 7, 2001.Iss Fee due Dec. 7, 2001
Publications Group

STATEMENT CONCERNING TRUE COPY, ETC.

The specification and drawings submitted herewith for use as an application benefiting from the 01/21/99 filing date of the parent application are photocopies and true copies of the allowed CPA case. The three claims 1-3 submitted herewith are true copies of claims 3, 4, and 5 in the parent case as filed 01/21/99, but are merely of historical interest. A Preliminary Amendment [resembling CPA practice, as seems appropriate in this type of compulsory divisional case] substitutes the apparatus claims as they were pending in the CPA case at the time of the Examiner's erroneous

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requirement for their deletion.

Both apparatus and method claims were initially sought. Both were argued for in each of the amendments filed in response to the first four rejections. It was only in the fourth [Final] rejection that the Examiner raised any issue about the presence of both apparatus and method claims. Counsel cited law and arguments in contending that both claims should issue in the same case. When the Examiner repeated such requirement in the post-final rejection, counsel interpreted it as a compulsory restriction, leading to this application. Counsel cannot note what an Examiner has designated as the class and sub-class of the presently sought claims, because the Examiner never made such a designation, but made a false accusation that applicant had elected method claims when the record shows that applicant consistently sought both method and apparatus claims. Prompt examination and allowance of the claims are carnestly solicited.

John R. Ewbank Reg. No. 14,853

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McLAUGHLiN Apparatus Application of 11/02/01 benefiting from 01/21/99

Signature page

Prompt issuance of a Notice of Allowance is earnestly solicited.

Respectfully,

John R. Ewbank, Registration Number 14,853

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